

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/632,149  
First Named Inventor : David R. Fitzpatrick  
Filed : July 30, 2003  
TC/A.U. : 2154  
  
Docket No. : 102636.57988US  
Customer No. : 23911  
Title : Method and System for Providing Rule-Based Collateral  
Allocation and Substitution

TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

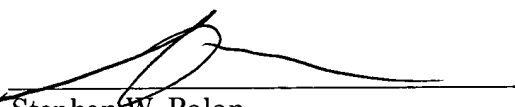
Attached hereto please find:

1. Power of Attorney and Correspondence Address Indication Form.
2. Statement Under 37 CFR 3.73(b).

Please credit any overpayment or charge any additional fees to the Deposit  
Account of Crowell & Moring, LLP, Account Number 05-1323 (Docket No.:  
102636.57988US).

Respectfully submitted,

August 31, 2006

  
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and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	10/632,149
Filing Date	July 30, 2003
First Named Inventor	David R. Fitzpatrick
Title	Method and System for Providing Rule-Based Collateral Allocation and Substitution
Art Unit	2154
Examiner Name	Unknown
Attorney Docket Number	102636.57988US

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:



Practitioners associated with the Customer  
Number:

23911

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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23911

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Address

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State

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Country

Telephone

Fax

I am the:



Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

Signature

Date

Name

Alan F. Schwarz

Telephone

(201) 209-7901

Title and Company

General Counsel, ICAP Services North America LLC

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: **ICAP Services North America LLC**

Application No./Patent No.: **10/632,149**

Filed/Issue Date: **July 30, 2003**

Entitled: **Method and System for Providing Rule-Based Collateral Allocation and Substitution**

**ICAP Services North America LLC**, a

**Limited Liability Company**

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel **017615**, Frame **0948**, and at Reel **017469**, Frame **0059**, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

8/18/06  
Date  
  
(201) 209-7901  
Telephone number  
  
General Counsel  
Title

Alan F. Schwarz  
Typed or printed name  
  
[Signature]  
Signature

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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